

P30563.P02

IAP6 Rec'd PCT/PTO 23 MAR 2007

Form PTO-1390

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

P30563

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 CFR  
1.5)

10/598,275

INTERNATIONAL APPLICATION NO.  
PCT/JP2005/002986INTERNATIONAL FILING DATE  
February 24, 2005PRIORITY DATE CLAIMED  
February 25, 2004TITLE OF INVENTION  
MEDICINE CAPABLE OF INHIBITING ACTIVATION OF TRANSCRIPTION FACTOR KLF5APPLICANT(S) FOR DO/EO/US  
Ryozo NAGAI and Toru SUZUKI

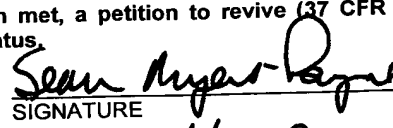
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. ☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (23) indicated below.
4. ☐ The US has been elected (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154 (d) (4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).  
"Executed"
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 22 below concern other document(s) or information included:

11. Assignee: The University of Tokyo of Tokyo, Japan and Nikken Chemicals Co., Ltd. of Tokyo, Japan
12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ An Application Data Sheet under 37 C.F.R. 1.76.
16. ☐ A substitute specification.
17. ☐ A power of attorney and/or change of address letter.
18. ☐ Figure of Drawing to be published:
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154 (d) (4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154 (d) (4).
22. ☒ Other items or information:  
Cover Letter

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|   |              |   |            |                                    |              |
|---|--------------|---|------------|------------------------------------|--------------|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br>10/598,275   |              | INTERNATIONAL APPLICATION NO.<br>PCT/JP2005/002986                            |            | ATTORNEY'S DOCKET NUMBER<br>P30563 |              |
|   |              |   |            | CALCULATIONS                       | PTO USE ONLY |
| 23 <input type="checkbox"/> The following fees are submitted:<br>Basic national fee.....300.00  |              |   |            | \$0.00                             |              |
| 24 <input type="checkbox"/> Examination Fee<br>If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33 (1)-(4).....0.00<br>All other situations.....200.00  |              |   |            | \$0.00                             |              |
| 25 <input type="checkbox"/> Search fee<br>Search fee (37 CFR 1.445(a) (2)) has been paid on the international application to the USPTO as an International Searching Authority.....0.00<br>International Search Report prepared and provided to the Office.....400.00<br>All other situations.....500.00  |              |   |            | \$0.00                             |              |
| TOTAL 23, 24 and 25 =   |              |   |            | \$0.00                             |              |
| <input type="checkbox"/> Additional Fee for Specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof.  |              |   |            |                                    |              |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE       |                                    |              |
| -100=   | /50 =        |   | x \$250.00 | \$0.00                             |              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).  |              |   |            | \$130.00                           |              |
| Claims  | Number Filed | Number Extra  | Rate       |                                    |              |
| Total Claims  | 20 - 20 =    | 0   | x \$50.00  | \$0.00                             |              |
| Independent Claims  | 3 - 3 =      | 0   | x \$200.00 | \$0.00                             |              |
| Multiple Dependent Claim(s) (if applicable)   |              |   | + \$360.00 | \$0.00                             |              |
| TOTAL OF ABOVE CALCULATIONS =   |              |   |            | \$130.00                           |              |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.  |              |   |            | \$0.00                             |              |
| SUBTOTAL =  |              |   |            | \$130.00                           |              |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (i)).  |              |   |            | \$130.00                           |              |
| Extension of Time fee in the amount of \$   |              |   |            | \$0.00                             |              |
| TOTAL NATIONAL FEE =  |              |   |            | \$260.00                           |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |            | \$0.00                             |              |
| TOTAL FEES ENCLOSED =   |              |   |            | \$260.00                           |              |
|   |              |   |            | Amount to be refunded              | \$           |
|   |              |   |            | Charged                            | \$           |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$ 260.00 to cover the above fees is included.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.</p> <p>c. <input checked="" type="checkbox"/> The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO CUSTOMER NO. 07055<br/>AT THE PRESENT ADDRESS OF:</p> <p>Bruce H. Bernstein<br/>GREENBLUM &amp; BERNSTEIN, P.L.C.<br/>1950 Roland Clark Place<br/>Reston, VA 20191<br/>(703) 716-1191</p> <p style="text-align: right;"> <br/>           SIGNATURE<br/>           42,920<br/>           Bruce H. Bernstein<br/>           NAME<br/>           29,027<br/>           REGISTRATION NUMBER         </p> |              |   |            |                                    |              |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Ryozo NAGAI et al.

Group Art Unit: Unassigned

Appln. No. : 10/598,275

Examiner: Unassigned

(U.S. National Stage Entry of PCT/JP05/002986)

I.A Filed : February 24, 2005

Confirmation No.: 2170

For : MEDICINE CAPABLE OF INHIBITING ACTIVATION OF  
TRANSCRIPTION FACTOR KLF5

**COVER LETTER**

**Mail Stop PCT**

Commissioner for Patents

U.S. Patent and Trademark Office

Customer Service Window, Mail Stop PCT

Randolph Building

401 Dulany Street

Alexandria, VA 22314

Sir:

In order to comply with the requirements for the submission of an executed Declaration AND English translation of the International Application in the above-identified application, and prior to receipt of the Notification which should set a time limit for submission of materials, and further to the filing of the above-identified application and the filing fee on August 23, 2006, Applicant hereby submits:

- Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371;
- an executed Declaration and Power of Attorney;
- a verified English language translation of the International application as originally filed (1 page of verification, 13 pages of specification with abstract, 4 sheets of drawings);
- a Preliminary Amendment;

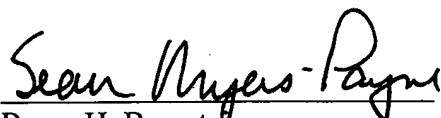
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- an Information Disclosure Statement, PTO Form 1449, and references cited, and
- a check in the amount of \$260.00 of which \$130.00 is payment of the surcharge for late filing of the Declaration and \$130.00 is payment of the Non-English specification.

The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0089.

Should the Examiner have any questions, the Examiner is invited to contact the undersigned at the below-listed number.

Respectfully submitted,  
Ryozo NAGAI et al.

  
Bruce H. Bernstein  
Reg. No. 29,027 42,920

March 28, 2007  
GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

## VERIFICATION OF TRANSLATION

I, Yumiko YAMADA, Patent Attorney,  
of SIKs & Co., 8<sup>th</sup> Floor, Kyobashi-Nisshoku Bldg., 8-7, Kyobashi 1-chome,  
Chuo-ku, Tokyo 104-0031 JAPAN

declare that I am well acquainted with both the Japanese and English languages,  
and that the attached is an accurate translation, to the best of my knowledge and  
ability, of the International Patent Application No. PCT/JP2005/002986, filed  
February 24, 2005.

Signature

*Yumiko Yamada*

Yumiko YAMADA

Date February 15, 2007